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FEC FORM 3X

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee

1	or Other Inan P	All Additionized	Committee			Office Use Only	
1. NAME OF COMMITTEE (in full)	TYPE OR PRINT ▼		mple: If typir r the lines.	ng, type	12FE4M5		
INVESTMENT COMPA	NY INSTITUT	E POLITICA	L ACTIO	N COMM	ITTEE (IC	I PAC)	
ADDRESS (number and street)	1401 H STREET N	W SUITE 1200					
Check if different							
than previously reported. (ACC)	WASHINGTON				DC	20005	-
2. FEC IDENTIFICATION NUI	MBER ▼	CITY 🛦		S	STATE A	ZIP CO	DE 🛦
C C00105981		3. IS THIS REPORT	V .	IEW N) OR	AM (A)	ENDED	
4. TYPE OF REPORT (Choose One) (a) Quarterly Reports: April 15 Quarterly Report (Q1 July 15 Quarterly Report (Q2 October 15 Quarterly Report (Q3 January 31 Year-End Report (YE	(c) 12-Day PRE-Elec Report fo				Sep		Nov 20 (M11) (Non-Election Year Only) Dec 20 (M12) (Non-Election Year Only) Jan 31 (YE) Runoff (12R)
July 31 Mid-Year Report (Non-election Year Only) (MY) Termination Report (TER)	(d) 30-Day POST-El Report fo		General (30G	i)	Runoff (3	OR) in the State of	Special (30S)
5. Covering Period 11	/ D D / Y	2013	through	11_	/ 30 /	2013	
I certify that I have examined this Type or Print Name of Treasurer	Report and to the	best of my kno	wledge and b	pelief it is true	e, correct and	l complete.	
Signature of Treasurer Mr Per	ter Gallary		[Electronically	Filed] Da	ate 12	/ 19 /	2013
NOTE: Submission of false, erroned	ous, or incomplete in	formation may su	bject the pers	son signing thi	is Report to th	e penalties of 2	J.S.C. §437g.
Office Use Only						FEC FOR Rev. 12/2	

SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003) Page 2

Write or Type Committee Name

INVESTMENT COMPANY INSTITUTE POLITICAL ACTION COMMITTEE (ICI PAC)

01 2013 30 2013 Report Covering the Period: From: To: 11 **COLUMN A COLUMN B** This Period Calendar Year-to-Date (a) Cash on Hand 520994.86 January 1, 2013 (b) Cash on Hand at 181755.65 Beginning of Reporting Period..... 695723.47 72949.02 (c) Total Receipts (from Line 19) (d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 254704.67 1216718.33 6(a) and 6(c) for Column B)..... 36633.68 998647.34 Total Disbursements (from Line 31)...... Cash on Hand at Close of 8. Reporting Period 218070.99 218070.99 (subtract Line 7 from Line 6(d))..... Debts and Obligations Owed TO the Committee (Itemize all on 0.00 Schedule C and/or Schedule D) 10. Debts and Obligations Owed BY the Committee (Itemize all on 0.00 Schedule C and/or Schedule D) This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission 999 E Street, NW Washington, DC 20463

Toll Free 800-424-9530 Local 202-694-1100

DETAILED SUMMARY PAGE

of Receipts

FEC Form 3X (Rev. 06/2004)

Write or Type Committee Name

INVESTMENT COMPANY INSTITUTE POLITICAL ACTION COMMITTEE (ICI PAC)

I. Receipts	COLUMN A	COLUMN B
<u> </u>	Total This Period	Calendar Year-to-Date
. Contributions (other than loans) From:		
(a) Individuals/Persons Other		
Than Political Committees	72699.02	640999.78
(i) Itemized (use Schedule A)	7255.52	
(ii) Unitemized	, 250.00	1221.60
(iii) TOTAL (add Lines 11(a)(i) and (ii)▶	72949.02	642221.38
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees	0.00	45000.00
(such as PACs)	7	7
(d) Total Contributions (add Lines		
11(a)(iii), (b), and (c)) (Carry	72949.02	687221.38
Totals to Line 33, page 5)	12343.02	7
Transfers From Affiliated/Other	0.00	0.00
Party Committees	0.00	0.00
. All Loans Received	0.00	0.00
All Loans neceived	7 7 7	7 7
Loop Bergmants Bassined	0.00	0.00
Loan Repayments Received	0.00	0.00
Offsets To Operating Expenditures		
(Refunds, Rebates, etc.)	0.00	495.89
(Carry Totals to Line 37, page 5)		435.05
to Federal Candidates and Other		
	0.00	8000.00
Political Committees Other Federal Receipts	0.00	3000.00
(Dividends, Interest, etc.)	0.00	6.20
. Transfers from Non-Federal and Levin Funds	0.00	0.20
(a) Non-Federal Account		
(from Schedule H3)	0.00	0.00
(IIOIII Scriedule FIS)	0.00	0.00
(1) 1	0.00	0.00
(b) Levin Funds (from Schedule H5)	0.00	0.00
(c) Total Transfers (add 18(a) and 18(b))	0.00	0.00
7. Total Receipts (add Lines 11(d),12, 13, 14, 15, 16, 17, and 18(c))	0.00 0.00 72949.02	66
Total Federal Receipts (subtract Line 18(c) from Line 19)▶	72949.02	695723.4

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 4

	II. Disbursements	Total This Period			
21. Operating Expenditures: (a) Allocated Federal/Non-Federal Activity (from Schedule H4)			Calendar Year-to-Date		
	(i) Federal Share	0.00	0.00		
	(ii) Non-Federal Share	0.00	0.00		
	(b) Other Federal Operating				
	Expenditures	633.68	2647.34		
	(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))▶	633.68	2647.34		
22.	Transfers to Affiliated/Other Party		2011.0		
2	Committees	0.00	0.00		
23.	Contributions to Federal Candidates/Committees and Other Political Committees	36000.00	996000.00		
24.	Independent Expenditures	0.00	0.00		
25.	(use Schedule E)	0.00	0.00		
	(2 U.S.C. §441a(d)) (use Schedule F)	0.00	0.00		
26.	Loan Repayments Made	0.00	0.00		
	i	200	200		
27. 28.	Loans Made Refunds of Contributions To:	0.00	0.00		
	(a) Individuals/Persons Other Than Political Committees	0.00	0.00		
	(b) Belitical Barty Committees	0.00	0.00		
	(b) Political Party Committees	0.00	0.00		
	(such as PACs)	0.00	0.00		
	(d) Total Contribution Refunds				
	(add Lines 28(a), (b), and (c))▶	0.00	0.00		
29.	Other Disbursements	0.00	0.00		
30.	Federal Election Activity (2 U.S.C. §431(20)) (a) Allocated Federal Election Activity				
	(from Schedule H6)				
	(i) Federal Share	0.00	0.00		
	(ii) "Levin" Share	0.00	0.00		
	(b) Federal Election Activity Paid Entirely				
	With Federal Funds	0.00	0.00		
	(c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))▶	0.00	0.00		
₹1	Total Disbursements (add Lines 21(c), 22,				
	23, 24, 25, 26, 27, 28(d), 29 and 30(c))	36633.68	998647.34		
32.	Total Federal Disbursements				
	(subtract Line 21(a)(ii) and Line 30(a)(ii)				
	from Line 31)	36633.68	998647.34		

DETAILED SUMMARY PAGE

of Disbursements

FEC Form 3X (Rev. 02/2003)

Page 5

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
3. Total Contributions (other than loans) (from Line 11(d), page 3)	72949.02	687221.38
4. Total Contribution Refunds (from Line 28(d))	0.00	0.00
5. Net Contributions (other than loans) (subtract Line 34 from Line 33)	72949.02	687221.38
6. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))▶	633.68	2647.34
7. Offsets to Operating Expenditures (from Line 15, page 3)	0.00	495.89
3. Net Operating Expenditures (subtract Line 37 from Line 36)	633.68	2151.45

Use separate schedule(s) for each category of the Detailed Summary Page

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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

or for commercial purposes, other than using the	e name and address of any political committee to	solicit contributions from such committee.
NAME OF COMMITTEE (In Full) INVESTMENT COMPANY INS	STITUTE POLITICAL ACTION COM	MMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial) A. Mr. Basil Fox		Date of Receipt
Mailing Address One Franklin Pkwy.		M M / D D / Y Y Y Y
City	State Zip Code	11 05 2013 Transaction ID : 11994383
San Mateo	CA 94403-1906	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	1000.00
Name of Employer	Occupation	
Franklin Templeton Investor Services L	President	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	
Full Name (Last, First, Middle Initial) 3. Mr. Julian F Sluyters		Date of Receipt
Mailing Address 4643 S. Ulster St. 6th Fl.		11 11 2013
City	State Zip Code	Transaction ID: 12031476
Denver	CO 80237-2853	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	2000.00
Name of Employer	Occupation	
Allianz Global Investors U.S. LLC	President & COO	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 2000.00	
Full Name (Last, First, Middle Initial) C. Doug Forsyth		Date of Receipt
Mailing Address 600 West Broadway		11 11 2013
City	State Zip Code	Transaction ID : 12031478
San Diego	CA 92101-3311	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	1500.00
Name of Employer	Occupation	
Allianz Global Investors	CIO	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	1500.00	
SUBTOTAL of Receipts This Page (optional)		4500.00
TOTAL This Period (last page this line number		

Use separate schedule(s) for each category of the Detailed Summary Page

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or for commercial purposes, other than usin	g the name and address of any political committee	
NAME OF COMMITTEE (In Full) INVESTMENT COMPANY I	NSTITUTE POLITICAL ACTION CO	OMMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial) Mr. Kenneth A Lewis		Date of Receipt
Mailing Address One Franklin Pkwy.		11 12 Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State Zip Code	Transaction ID: 12032942
San Mateo	CA 94010-6140	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	500.00
Name of Employer	Occupation	1
Franklin Resources, Inc.	EVP & CFO	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	1000.00	
Full Name (Last, First, Middle Initial) 3. Philip N Russo	'	Date of Receipt
Mailing Address 2005 Market Street		M = M / D = D / Y = Y = Y
City	State Zip Code	11 12 2013
City Philadelphia	State Zip Code PA 19103-7042	Transaction ID : 12032943
FEC ID number of contributing	.5.55.75.2	Amount of Each Receipt this Period
federal political committee.	C	600.00
Name of Employer	Occupation	
Delaware Investments	EVP	
Receipt For: Primary General	Aggregate Year-to-Date ▼	
Other (specify) ▼	600.00	
Full Name (Last, First, Middle Initial) C. Mr. Mark W Headley	l	Date of Receipt
Mailing Address 4 Embarcadero Ctr. Ste. 550		11 13 2013
City San Francisco	State Zip Code CA 94111-5912	Transaction ID : 12033133 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	4500.00
Name of Employer	Occupation	-
Matthews International Funds	Co-CEO, CIO	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General		
Other (specify) ▼	4500.00	
SUBTOTAL of Receipts This Page (options	al)	5600.00
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TOTAL This Period (last page this line nur	nber only)	

Use separate schedule(s) for each category of the Detailed Summary Page

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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions

or for commercial purposes, other than using the	ne name and address of any political committee to	solicit contributions from such committee.
NAME OF COMMITTEE (In Full) INVESTMENT COMPANY INS	STITUTE POLITICAL ACTION COM	MMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial) A. Mr. G. Paul Matthews		Date of Receipt
Mailing Address 301 Main Street Unit 348		11 13 / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City San Francisco	State Zip Code CA 94105-5032	Transaction ID : 12033134 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	4500.00
Name of Employer Matthews Int'l Capital Mgmt.	Occupation Chairman	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 4500.00	
Full Name (Last, First, Middle Initial) Mr. George Shevlin Mailing Address 1401 H St NW		Date of Receipt
City Washington	State Zip Code DC 20005-2202	11 13 2013 Transaction ID : 12033136 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	С	500.00
Name of Employer Investment Company Institute	Occupation Political Affairs Officer	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	
Full Name (Last, First, Middle Initial) Mr. Hugh D McGuirk		Date of Receipt
Mailing Address 100 E. Pratt Street		11 13 2013
City Baltimore	State Zip Code MD 21202-1008	Transaction ID : 12039378 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	1000.00
Name of Employer T. Rowe Price Associates, Inc.	Occupation Vice President	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	
SUBTOTAL of Receipts This Page (optional)		6000.00
TOTAL This Period (last page this line numbe	r only)	

Use separate schedule(s) for each category of the Detailed Summary Page

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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions

	NSTITUTE POLITICAL ACTION CON	MMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial) Mr. Brian K Reid		Date of Receipt
Mailing Address 1401 H Street NW Suite 1200		11 14 2013
City	State Zip Code	Transaction ID: 12040056
Washington	DC 20005-2202	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	5000.00
Name of Employer	Occupation	
Investment Company Institute	Cheif Economist	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	5000.00	
Full Name (Last, First, Middle Initial) Mr. George C. W. Gatch	1	Date of Receipt
Mailing Address 245 Park Ave.		M = M / D = D / Y = Y = Y
3rd Fl.	State Zip Code	11 14 2013
New York	NY 10167-0001	Transaction ID : 12045740 Amount of Each Receipt this Period
FEC ID number of contributing		Amount of Lach neceipt this Feriod
federal political committee.	C	5000.00
Name of Employer	Occupation	
J.P. Morgan Asset Management	President & CEO, J.P. Morgan Funds	
Receipt For: Primary General	Aggregate Year-to-Date ▼	
Other (specify) ▼	5000.00	
Full Name (Last, First, Middle Initial) Mr. Robert Deutsch	-	Date of Receipt
Mailing Address 1049 Tilghman Rd		11 14 2013
City Chesterbrook	State Zip Code PA 19087-5879	Transaction ID : 12045741 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	1000.00
Name of Employer	Occupation	
J.P. Morgan Fleming Asset Mgmt	Managing Director	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General	4000.00	
Other (specify)	1000.00	
		11000.00

Use separate schedule(s) for each category of the Detailed Summary Page

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	Statements may not be sold or used by any person e name and address of any political committee to	
NAME OF COMMITTEE (In Full) INVESTMENT COMPANY INS	TITUTE POLITICAL ACTION COM	MMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial) Cynthia L. Sweeting Mailing Address 500 E. Browarld Blvd		Date of Receipt
		11 18 2013
City Ft Lauderdale	State Zip Code FL 33394-3000	Transaction ID : 12053582
FEC ID number of contributing federal political committee.	C	Amount of Each Receipt this Period 500.00
Name of Employer Templeton Investment Counsel, LLC Receipt For: Primary General Other (specify) ▼	Occupation Executive VP Aggregate Year-to-Date ▼ 500.00	
Full Name (Last, First, Middle Initial) Mr. Glenn R Richter Mailing Address 333 W. Wacker Dr		Date of Receipt
City Chicago FEC ID number of contributing federal political committee.	State Zip Code IL 60606-1220	11 18 2013 Transaction ID : 12053583 Amount of Each Receipt this Period 5000.00
Name of Employer Nuveen Investments, Inc. Receipt For: □ Primary □ General □ Other (specify) ▼	Occupation Chief Administrative Officer Aggregate Year-to-Date ▼ 5000.00	
Full Name (Last, First, Middle Initial) Mr. Thomas S Schreier Jr. Mailing Address 601 Second Ave. South City	State Zip Code	Date of Receipt 11 18 2013 Transaction ID : 12053657
Minneapolis	MN 55402-7014	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	5000.00
Name of Employer Nuveen Investments Receipt For: ☐ Primary ☐ General ☐ Other (specify) ▼	Occupation CEO Aggregate Year-to-Date ▼ 5000.00	
SUBTOTAL of Receipts This Page (optional)		10500.00
TOTAL This Period (last page this line number	only)	

Use separate schedule(s) for each category of the Detailed Summary Page

	FOR LINE NUMBER:				PAGE	. ′	11	OF	31		
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or for commercial purposes, other than using t	he name and address of any political committee to	solicit contributions from such committee.
NAME OF COMMITTEE (In Full) INVESTMENT COMPANY INS	STITUTE POLITICAL ACTION COM	MMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial) Mr. Gifford R Zimmerman		Date of Receipt
Mailing Address 333 W. Wacker Dr		1.1 18 2013
City Chicago	State Zip Code IL 60606-1220	Transaction ID : 12053659 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	1000.00
Name of Employer Nuveen Receipt For: Primary General	Occupation Managing Dir. & Assoc. General Counsel Aggregate Year-to-Date ▼	
Other (specify) ▼	1000.00	
Full Name (Last, First, Middle Initial) Mr. John MacCarthy Mailing Address 333 W. Wacker Dr		Date of Receipt
City Chicago	State Zip Code IL 60606-1220	11 18 2013 Transaction ID : 12053660 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	2500.00
Name of Employer Nuveen Investments, LLC	Occupation SVP and General Counsel	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 2500.00	
Full Name (Last, First, Middle Initial) Mr. Charles R Manzoni Jr.		Date of Receipt
Mailing Address 800 Nicollet Mall BC-MN-H04N		11 18 2013
City Minneapolis	State Zip Code MN 55402-2502	Transaction ID : 12053661 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	500.00
Name of Employer FAF Advisors, Inc.	Occupation General Counsel	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 500.00	
SUBTOTAL of Receipts This Page (optional)		4000.00
TOTAL This Period (last page this line number	er only)	

Use separate schedule(s) for each category of the Detailed Summary Page

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or for commercial purposes, other than using t	he name and address of any political committee to	solicit contributions from such committee.
NAME OF COMMITTEE (In Full) INVESTMENT COMPANY INS	STITUTE POLITICAL ACTION COM	MMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial) Mr. Kevin J McCarthy Mailing Address 333 W. Wacker Dr		Date of Receipt
City Chicago FEC ID number of contributing federal political committee. Name of Employer Nuveen Investments, Inc. Receipt For: □ Primary □ General □ Other (specify) ▼	State Zip Code IL 60606-1220 C Occupation Managing Director Aggregate Year-to-Date ▼ 750.00	Transaction ID: 12053662 Amount of Each Receipt this Period 750.00
Full Name (Last, First, Middle Initial) Mr. John Miller Mailing Address 1096 Fisher Lane		Date of Receipt 11 18 2013
City Winnetka FEC ID number of contributing federal political committee.	State Zip Code IL 60093-1513	Transaction ID: 12053663 Amount of Each Receipt this Period 1500.00
Name of Employer Nuveen Asset Management, LLC Receipt For: Primary General Other (specify) ▼	Occupation CIO Aggregate Year-to-Date ▼ 1500.00	
Full Name (Last, First, Middle Initial) Mr. Jeffrey Cusack Mailing Address 333 W. Wacker Dr. City	State Zip Code	Date of Receipt 11 18 2013 Transaction ID: 12053664
Chicago FEC ID number of contributing federal political committee. Name of Employer Nuveen Investments Receipt For: Primary General Other (specify) ▼	IL 60606-1220 C Occupation Managing Director, Head of Retail Dist Aggregate Year-to-Date ▼ 500.00	Amount of Each Receipt this Period 500.00
SUBTOTAL of Receipts This Page (optional)		2750.00
TOTAL This Period (last page this line number		

Use separate schedule(s) for each category of the Detailed Summary Page

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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions

or for commercial purposes, other than using t	the name and address of any political committee to	solicit contributions from such committee.
NAME OF COMMITTEE (In Full) INVESTMENT COMPANY INS	STITUTE POLITICAL ACTION COM	MMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial) Ms. Lorna C Ferguson Mailing Address 333 W. Wacker Dr		Date of Receipt
		11 18 2013
City Chicago	State Zip Code IL 60606-1220	Transaction ID : 12053665 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	400.00
Name of Employer	Occupation Managing Director	
Nuveen Investments, LLC Receipt For:	Managing Director Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	400.00	
Full Name (Last, First, Middle Initial) Mr. William Huffman		Date of Receipt
Mailing Address 333 W. Wacker Dr		11 18 2013
City Chicago	State Zip Code IL 60606-1220	Transaction ID : 12053666
FEC ID number of contributing federal political committee.	C	Amount of Each Receipt this Period
Name of Employer	Occupation	
Nuveen Asset Management Receipt For:	Vice President	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 1500.00	
Full Name (Last, First, Middle Initial) C. Mr. Carl Katerndahl		Date of Receipt
Mailing Address 333 W. Wacker Dr.		11 18 _ 2013 _
City Chicago	State Zip Code IL 60606-1220	Transaction ID : 12053667 Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	1000.00
Name of Employer	Occupation	
Nuveen Receipt For:	Executive Vice President	
Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 1000.00	
SUBTOTAL of Receipts This Page (optional).	>	2900.00
TOTAL This Period (last page this line number	er only)	

Use separate schedule(s) for each category of the Detailed Summary Page

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NAME OF COMMITTEE (In Full) INVESTMENT COMPANY INS	STITUTE POLITICAL ACTION CO	MMITTEE (ICI PAC)				
Full Name (Last, First, Middle Initial) Mr. William Adams IV Mailing Address 333 W. Wacker Dr		Date of Receipt				
City	State Zip Code	11 18 2013 Transaction ID : 12053668				
Chicago	IL 60606-1220	Amount of Each Receipt this Period				
FEC ID number of contributing federal political committee.	C	3000.00				
Name of Employer	Occupation	_				
Nuveen Investments, Inc. Receipt For:	Executive Vice President	_				
Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 3000.00					
Full Name (Last, First, Middle Initial) Mr. John P Amboian		Date of Receipt				
Mailing Address 333 W. Wacker Dr.	M = M / D = D / Y = Y = Y = Y					
City	State Zip Code	11 18 2013 Transaction ID : 12053669				
Chicago	IL 60606-1218	Amount of Each Receipt this Period				
FEC ID number of contributing federal political committee.	C	5000.00				
Name of Employer Nuveen Investments	Occupation CEO					
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00					
Full Name (Last, First, Middle Initial)		Date of Receipt				
Mailing Address 715 Windsor Rd		11 18 2013				
City Glenview	State Zip Code IL 60025-4454	Transaction ID : 12053670 Amount of Each Receipt this Period				
FEC ID number of contributing federal political committee.	C	500.00				
Name of Employer	Occupation	1				
Nuveen	financial professional	4				
Receipt For: Primary General	Aggregate Year-to-Date ▼					
Other (specify) ▼	500.00					
	1	1				
SUBTOTAL of Receipts This Page (optional)	>	8500.00				

Use separate schedule(s) for each category of the Detailed Summary Page

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	and Statements may not be sold or used by any pers g the name and address of any political committee t				
NAME OF COMMITTEE (In Full) INVESTMENT COMPANY II	NSTITUTE POLITICAL ACTION CO	MMITTEE (ICI PAC)			
Full Name (Last, First, Middle Initial) Ms. Margo L Cook Mailing Address 333 W. Wacker Dr		Date of Receipt 11 18 2013			
City	State Zip Code	Transaction ID : 12053671			
Chicago	IL 60606-1220	Amount of Each Receipt this Period			
FEC ID number of contributing federal political committee.	С	5000.00			
Name of Employer	Occupation	†			
Nuveen	Sr. Man. Director & Head of Inst. Bus.				
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00				
Full Name (Last, First, Middle Initial) 3. Ms. Amy Lancellotta		Date of Receipt			
Mailing Address 1401 H Street NW		M = M / D = D / Y = Y = Y			
Suite 1200	11 21 2013				
City Washington	State Zip Code DC 20005-2202	Transaction ID : 12055191			
	2000 2202	Amount of Each Receipt this Period			
FEC ID number of contributing federal political committee.	C	1500.00			
Name of Employer	Occupation				
Investment Company Institute	Managing Director	4			
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 1500.00				
Full Name (Last, First, Middle Initial) Norman John Boersma		Date of Receipt			
Mailing Address PO Box N-7759		11 21 2013			
City Nassau	State Zip Code	Transaction ID : 12055480 Amount of Each Receipt this Period			
FEC ID number of contributing federal political committee.	C	500.00			
Name of Employer	Occupation	†			
Templeton Global Advisors Limited	President				
Receipt For:					
Primary General Other (specify) ▼	500.00				
SUBTOTAL of Receipts This Page (optional	al)	7000.00			
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TOTAL This Period (last page this line num	nber only)				

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NAME OF COMMITTEE (IN FUII) INVESTMENT COMPANY IN	STITUTE POLITICAL ACTION CO	MMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial) Mr. Udo Frank Mailing Address 4 Embarcadero Center 28th Floor City San Francisco FEC ID number of contributing federal political committee. Name of Employer RCM Capital Management LLC Receipt For: Primary General Other (specify)	State Zip Code CA 94111-5988 C Occupation Chief Executive Officer Aggregate Year-to-Date ▼ 1500.00	Date of Receipt 11 21 2013 Transaction ID: 12055485 Amount of Each Receipt this Period 1500.00
Mr. Conrad Herrmann Mailing Address One Franklin Pkwy. City San Mateo FEC ID number of contributing federal political committee. Name of Employer Franklin Resources, Inc. Receipt For: Primary General Other (specify) ▼	State Zip Code CA 94403-1906 C Occupation Portfolio Manager Aggregate Year-to-Date ▼ 500.00	Date of Receipt 11 22 2013 Transaction ID: 12057311 Amount of Each Receipt this Period 500.00
Full Name (Last, First, Middle Initial) Chris McIsaac Mailing Address 28 Papermill Rd. City Newtown Square FEC ID number of contributing federal political committee. Name of Employer Vanguard Receipt For: Primary General Other (specify)	State Zip Code PA 19073-1804 C Occupation Managing Director Aggregate Year-to-Date ▼ 2000.00	Date of Receipt 11 24 2013 Transaction ID: 12057746 Amount of Each Receipt this Period 1000.00
SUBTOTAL of Receipts This Page (optional)	<u> </u>	3000.00
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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions

	he name and address of any political committee to	
NAME OF COMMITTEE (In Full) INVESTMENT COMPANY INS	STITUTE POLITICAL ACTION COM	MMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial) A. Ms. Martha G King		Date of Receipt
Mailing Address PO Box 2600		11 25 2013
City	State Zip Code	Transaction ID : 12058177
Valley Forge	PA 19482-2600	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	1000.00
Name of Employer	Occupation	
Vanguard Group, Inc.	Principal	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	1000.00	
Full Name (Last, First, Middle Initial) Mr. James E Ross		Date of Receipt
Mailing Address One Lincoln St.		M = M / D = D / Y = Y = Y
30th Floor	State 7's Cada	11 27 2013
City	State Zip Code MA 02111-2901	Transaction ID : 12059156
Boston	MA 02111-2901	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	5000.00
Name of Employer	Occupation	
State Street Global Advisors	Senior Managing Director	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 5000.00	
Full Name (Last, First, Middle Initial) C. Mr. Mike McNamee		Date of Receipt
Mailing Address 1401 H Street NW Suite 1200		11 30 / Y = Y = Y = Y
City	State Zip Code	Transaction ID : PR12724557409
Washington	DC 20005-2202	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	150.00
Name of Employer	Occupation	
Investment Company Institute	Senior Director, Public Communications	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	1200.00	P/R Deduction (\$50.00 Bi-Weekly)
SUBTOTAL of Receipts This Page (optional)		6150.00
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Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions

NAME OF COMMITTEE (In Full) INVESTMENT COMPANY IN	STITUTE POLITICAL ACTION CO	MMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial) Mr. Paul S Stevens		Date of Receipt
Mailing Address 630 South Fairfax St		11 30 / Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y Y
City	State Zip Code	Transaction ID : PR5126117409
Alexandria	VA 22314-3834	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	568.20
Name of Employer	Occupation	1
Investment Company Institute	President	
Receipt For: Primary General Other (specify) ▼	Aggregate Year-to-Date ▼ 4545.60	P/R Deduction (\$189.40 Bi-Weekly)
Full Name (Last, First, Middle Initial) Ms. Kathleen C Joaquin		Date of Receipt
Mailing Address 1401 H St NW		M = M / D = D / Y = Y = Y
City	State 7in Code	11 30 2013
City Washington	State Zip Code DC 20005-2202	Transaction ID : PR5158027409
	10000 1101	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	115.41
Name of Employer	Occupation	
Investment Company Institute	Chief Industry Operations Officer	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	923.28	P/R Deduction (\$38.47 Bi-Weekly)
Full Name (Last, First, Middle Initial) Ms. Karrie McMillan	1	Date of Receipt
Mailing Address 6411Furlong Rd		11 30 2013
City	State Zip Code	Transaction ID : PR5226057409
McLean	VA 22101-4133	Amount of Each Receipt this Period
FEC ID number of contributing federal political committee.	C	115.41
Name of Employer	Occupation	
Investment Company Institute	General Counsel	
Receipt For:	Aggregate Year-to-Date ▼	
Primary General Other (specify) ▼	923.28	P/R Deduction (\$38.47 Bi-Weekly)
		799.02
SUBTOTAL of Receipts This Page (optional)	······	40.

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Mailing Address PO Box 40028							11	7		2	/ []	2013	
City	(State	Zip Code				Tran	sacti	ion ID	. 12	112541	l	
Roanoke		VA	24022				IIaii	Saci	1011 11	. 12	112341		
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				Cate Ty	gor /pe	y/			7		7	5	53.48
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Senate		Primary	General				Bank F	ees					
State: President		Other (spe	city) 🔻										
Full Name (Last, First, Middle Ini	tial)												
B. PayPal	iidiy						Date			emer		YY	V
Mailing Address 2211 North 1st S	Street						11	,)5		2013	
City	5	State	Zip Code				Trar	sact	ion ID): 12	112545	5	
San Jose Purpose of Disbursement		CA	95131										
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City		State	Zip Code									_	
San Jose		CA	95131				Tran	sact	ion ID): 12	2112558	3	
Purpose of Disbursement PayPal Fees													
Candidate Name					01		Amou	nt of	Each	Dist	ourseme	ent this	Period
Candidate Name				Cate	egor /pe	y/						4	10.60
Office Sought: House	Disburser	ment For:			۲۷	\dashv			7		7		
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President						•		_	7	_	,	12	24.08

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	President	Other (spec	cify) 🔻												
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	Mailing Address 2211 North 1st Street					11			2	Ľ	_20		
	,	State Zip Code				Tran	sacti	ion ID	: 1	21125	62		
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igr angle INVESTMENT COMPANY INSTIT	UTE POLITICAL A	CTION CON	MMITTEE (ICI PAC)
Full Name (Last, First, Middle Initial)			
A. Buck Mckeon For Congress			Date of Disbursement
Mailing Address 23942 Lyons Ave #105			11 06 2013
City	State Zip Code		Transaction ID : 12020732
Santa Clarita	CA 91321		Transaction ID: 12020732
Purpose of Disbursement		011	Amount of Each Disbursement this Period
Candidate Name			Amount of Each Dispursement this Period
Rep. Howard P. McKeon		Category/ Type	1000.00
Office Sought: House Disburse	ment For: 2014 Primary General Other (specify)		
Full Name (Last, First, Middle Initial)			
B. Roskam For Congress Committee			Date of Disbursement
Mailing Address P. O. Box 713			11 06 7 2013
City	State Zip Code		Transaction ID: 12020733
Wheaton	IL 60187		Transaction id . 12020733
Purpose of Disbursement		011	Amount of Each Disbursement this Period
Candidate Name		Category/	
Rep. Peter Roskam		Type	3000.00
	ment For: 2014 Primary General Other (specify) ▼		
Full Name (Last, First, Middle Initial) Chris Gibson For Congress			Date of Disbursement
Mailing Address PO Box 234			11 06 2013
City	State Zip Code		Transaction ID : 12020739
Saratoga Springs Purpose of Disbursement	NY 12866		. Tanibasion is . TEOE0100
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Candidate Name		Category/	
Rep. Chris Gibson		Type	1000.00
Senate President	ment For: 2014 Primary General Other (specify)		
State: NY District: 20			
SUBTOTAL of Disbursements This Page (optional)		·····	5000.00
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	City S Melbourne	State FL	Zip Code 32935				Trans	sactio	n ID :	1202	20741		
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C.	Committee To Re-Elect Linda Sand	chez					Date o	f Disk	ourser	ment			
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	Mailing Address 50 E St, Se						11		06	j	2	2013	
	Suite 1	State	Zip Code										
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	Office Sought: House Disbursen	nent For:	2014										
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Α.	Mike Mcintyre For Congress						Date o	f Disk	ourser	nent			
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\	ESTMENT COMPANY INSTIT	UTE POLITICAL A	CTION COM	MMITTEE (ICLPAC)						
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	Mr. Dennis Heck			Ту	ре					,		100	0.00	-
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C.	Cleaver For Congress							ו טוטג						
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Α.	Cleaver For Congress			Date of Disbursement						
	Mailing Address 4801 Main Street, Stuite 1000			11 06 2013						
	,	State Zip Code		Transaction ID : 12020760						
	Kansas City	MO 64112		1141134041011115 . 12020700						
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	Rep. Emanuel Cleaver II		Category/ Type	1000.00						
	<u> </u>	ment For: 2014								
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٠.	Rothfus For Congress		M M / D D / Y Y Y Y							
	Mailing Address PO Box 435			11 15 2013						
		State Zip Code		Transaction ID : 12051250						
	Sewickley Purpose of Disbursement	PA 15143								
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	Rep. Keith Rothfus		Type	1000.00						
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	President State: PA District: 12	Other (specify) ▼								
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C.	Synergy PAC			Date of Disbursement						
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	Mailing Address 6849 OLD DOMINION DRIVE SUIT		11 15 2013							
	City	State 7:n Code								
	City S MCLEAN	State Zip Code VA 22101		Transaction ID: 12051252						
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<u></u>	Full Name (Last, First, Middle Initial)												
Α.	Friends Of Erik Paulsen					Date of	f Disl	bursei	ment				
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	Mailing Address P.O. Box 44369					11		15			013		
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	,	State Zip Code MN 55344				Trans	actio	on ID	12051	253			
	Eden Prairie Purpose of Disbursement	MN 55344											
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		Primary General											
	President	Other (specify) ▼											
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	250 Prairie Center Drive					11		1			010		
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	Office Sought: House Disbursen	nent For: 2014		ype	\dashv			7	- 7				
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	Full Name (Last, First, Middle Initial)												
C.	Mike Kelly For Congress					Date of	f Disl	burseı	ment				
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NAME OF COMMITTEE (In Full)				
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Full Name (Last, First, Middle Initial)				
Nover For Congress	Date of Disbursement			
Mailing Address 700 13th Street, Nw Suite 600			11 15 2013	
City	State Zip Code		Transaction ID: 12051284	
Washington	DC 20005		Transaction ib . 12031204	
Purpose of Disbursement		011	Amount of Each Disbursement this Period	
Candidate Name		Catagony		
Rep. Steny H. Hoyer		Category/ Type	1500.00	
Senate President	ment For: 2014 Primary			
	Full Name (Last, First, Middle Initial) Jim Gerlach For Congress Committee			
Mailing Address PO Box 87		11 15 2013		
- FO BOX 67		1, 10 2010		
City	State Zip Code		Transaction ID : 12051291	
Uwchland Purpose of Disbursement	PA 19480			
r dipose of Disbursement		011	Amount of Each Disbursement this Period	
Candidate Name		Category/		
Rep. James W. Gerlach		Type	1000.00	
	ment For: 2014 Primary General Other (specify)			
Full Name (Last, First, Middle Initial)			Date of Disbursement	
Virginia Foxx For Congress		M M / D D / Y Y Y Y		
Mailing Address P.O. Box 1100		11 15 2013		
City	State Zip Code		Transaction ID - 40054000	
Clemmons	NC 27012		Transaction ID: 12051292	
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Candidate Name	011	Amount of Each Disbursement this Period		
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Rep. Virginia Foxx Office Sought: House Disburse	ment For: 2014	Туре	7 7	
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State: NC District: 05				
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_	Full Name (Last, First, Middle Initial)										
Α.	Martha Roby For Congress				Date of Disbursement						
	Mailing Address PO Box 195				11 15 2013	Υ					
	Mailing Address FO Box 195				11 13 2013						
	City	State	Zip Code		Transportion ID - 40054000						
	Montgomery	AL	36101		Transaction ID: 12051293						
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	Rep. Martha Roby			Category/ Type	500.	.00					
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		Primary	General								
	President	Other (spe	ecify) 🔻								
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_	Full Name (Last, First, Middle Initial)										
В.	Martha Roby For Congress				Date of Disbursement						
	Mailing Address PO Box 195				11 15 2013	Y					
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	Montgomery	AL	36101		1141134011011 ID . 12031234						
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Ċ.	Courtney For Congress				Date of Disbursement						
	Mailing Address 38 Risley Road				11 15 2013	Υ					
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	Rep. Joseph D. Courtney			Category/ Type	1000.	.00					
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Full Name (Last, First, Middle Initial)									
Guthrie For Congress			Date of Disbursement						
Mailing Address PO Box 9639			11 15 2013						
	state Zip Code KY 42102		Transaction ID: 12051297						
Bowling Green Purpose of Disbursement	KY 42102								
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Candidate Name		Category/	1000.00						
Rep. S. Brett Guthrie		Туре	1000.00						
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State: KY District: 02									
Full Name (Last, First, Middle Initial)			Date of Disbursement						
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